Information Technology Capital Plan

Department IT Capital Plan

Information Technology Capital Plan, Plan Year 2009-10 through 2013-14 Executive Approval Transmittal
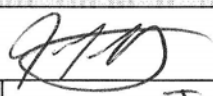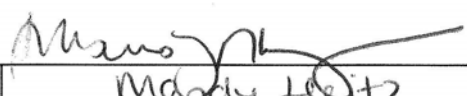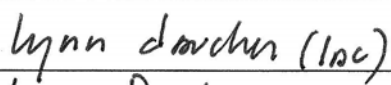
Department Name

California Department of Aging

APPROVAL SIGNATURES

I am submitting the attached Information Technology Capital Plan as required by the State Administrative Manual Section 4904.

I certify that the IT Capital Plan was prepared in accordance with State Information Management Manual section 57 and that the proposed IT projects are consistent with our business strategies and information technology strategy.

I have reviewed and agree with the information in the attached Information Technology Capital Plan.

Chief Information Officer	Date Signed
WM Hogan	9-15-08
Printed name: William Hogan	

Information Security Officer	Date Signed
signature	9-15-08
Printed name: Jeff Stilz	

Budget Officer	Date Signed
signature	9/16/08
Printed name: Maddy Leitz	

Department Director	Date Signed
Lynn doucher (loc)	9/16/08
Printed name: Lynn Doucher	

SIMM 57, Office of the State CIO

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Department ITCP Transmittal

June 2008

Department Name and Org Code:

Plan Year:
 2009-10 through 2013-14

1. **Summarize your organization's business goals and objectives below:**

Goal 1- Ensure Access to Services through Effective Education and Outreach

Objective 1 Improve the Information and Assistance system statewide to ensure that older adults, family caregivers, and service providers have easy access to needed information and services.

Objective 2 Incorporate key principles from recent federal initiatives in care management services provided to older adults.

Objective 3 Restructure the HICAP to respond to its changing role and the increased complexity of the Medicare Program.

Objective 4 Increase the coordination between family caregiver supportive services and home and community-based supportive services so that all of a family's needs are being identified and responded to in the most comprehensive manner possible.

Objective 5 Expand available Older American Act services by developing and implementing a cost-sharing policy for these programs, unless prohibited by federal law.

Goal 2- Promote Optimal Physical, Mental, and Social Well-Being among Older Adults and Their Informal Caregivers

Objective 6 Increase health promotion and disease prevention services for older adults.

Objective 7 Identify opportunities to increase the effectiveness of the Elderly Nutrition Program and implement appropriate improvements.

Objective 8 Improve oral health care for residents in Long Term Care (LTC) facilities.

Objective 9 Improve access to mental health services for older adults.

Objective 10: Collaborate with State and local agencies in addressing older adult substance abuse.

Objective 11 Collaborate with agencies and coalitions providing geriatric training to current health, social service, and mental health professionals as well as those who are training in these professions to increase the number and improve the skills of those who are providing services to older Californians.

Objective 12 Pursue strategies, in conjunction with the CHHS Olmstead Advisory Committee and the State Departments on the Long Term Care Council, to increase affordable and supportive housing options for older adults and increase transportation alternatives, particularly for those who can no longer drive.

Goal 3- Protect the Quality of Life and Rights of Elders through Education, Legal Services, and Improved Coordination with Law Enforcement

Objective 13 Increase awareness among local law enforcement on how to recognize and investigate elder and dependent adult abuse and neglect in LTC facilities.

Objective 14 Improve the quality and quantity of legal services provided to older adults.

Goal 4- Strengthen the Quality and Accountability of CDA Programs

Objective 15 Provide consistent Area Agency on Aging (AAA) technical assistance in the most efficient manner.

Objective 16 Develop and maintain program standards and requirements for home and community based services authorized by the Older Californian Act, to the degree that State General Fund resources permit.

Objective 17 Develop monitoring and assessment tools to ensure that basic minimum program requirements are met.

Objective 18 Partner with Department of Health Services Medi-Cal to redesign the current ADHC Program to conform to federal Medicaid requirements.

Objective 19 Develop a new model for Adult Day Health Care (ADHC) program oversight.

Objective 20 Improve the quality of life for older adults in the Multipurpose Senior Services Program (MSSP) by developing a comprehensive Quality Assurance program.

Objective 21 Improve LTC Ombudsman program consistency and quality.

Objective 22 Incorporate Administration on Aging Family Caregiver Support Program (FCSP) data reporting measures in CDA data reporting requirements and monitor program use and best practices at the local level.

Goal 5- Expand Opportunities for Volunteerism Among Older Adults and Increase the Number of Volunteers Among All Ages in Programs Serving Older Adults

Objective 23 Expand opportunities for older adults to volunteer their time and expertise in activities that benefit the public good and increase the number of volunteers of all ages in programs serving older adults.

Goal 6- Use Existing and Emerging Technology to Improve Program Management and Accountability, Policy Development, and Service Delivery

Objective 24 Develop a pre-screening calculator on CDA's web site so that interested older adults could determine if they are eligible to participate in the Senior Community Services Employment Program (SCSEP).

Objective 25 Automate the scheduling and management of the ADHC Branch's Medi-Cal certification reviews.

Objective 26 Expand and improve CDA's database capabilities to incorporate more comprehensive data and reporting.

Goal 7- Improve CDA's Business Practices to Support Policy and Programmatic Goals

Objective 27 Improve and maintain strong financial management practices and enhance accountability of CDA administered programs.

Objective 28 Use technology to provide improved fiscal management information to department managers and external business partners/contractors.

Objective 29 Use technology to improve CDA program management and service delivery.

Objective 30 Effectively manage CDA's Human Resource needs.

Objective 31 Improve the contracting process through better use of technology in order to streamline the process and reduce costs.

2. **What are your organization's plans to upgrade or replace your IT infrastructure for the following? When responding, please indicate the timeframes of your intended upgrade or replacement efforts.**

    2.1. **Hardware**

    The desktop hardware in the department is reviewed for replacement annually. The personal computers, personal printers, monitors, and laptops are replaced on a four year cycle. However, if specific equipment has a history of problems, then it may be replaced sooner. The desktop equipment that is purchased by CDA conforms to the state CSSI standards that have been established by the Department of General Services.

    2.2. **Software**

The plans for upgrading the software are based upon a business need to acquire additional functionality or compatibility with other systems. The department has adopted software standards using mainly Microsoft products. When the MS technical support period is over, then upgrades are considered and tested in the CDA environment. It is not always desirable to immediately upgrade to the latest version of software because many bugs may still exist in the software that has been prematurely pushed out by the vendor. Non-standard software may be purchased if there is a business need for it but the IT unit is not expected to be able to support any non-standard software.

2.3. Network

The network equipment is basically purchased on an as needed basis. The servers and network printers are expected to have a useful life of about six years. It is around that time period that equipment warranties expire and it then becomes more expensive to replace defective components than to buy brand new equipment. Since network equipment is built for heavy use, the extension of the expected life of the equipment is often accomplished by redirecting the resource to less demanding functions and tasks within the network. For example, network printers can be relocated from organizational units with heavy usage to those units that have less usage.

Other network equipment purchases are made based upon business needs. For example, the expansion of the network may be necessary to provide more storage resulting from an increase in databases on the network. Or greater website capacity may be necessary to accommodate the increased growth in the number of postings and interactive web-based applications on the website. These are examples where additional network purchases are required in order to accommodate new business functions.

3. Existing Approved Reportable IT Projects

Provide the following information regarding your existing approved reportable IT projects on Table 1 on the following page:

- **Existing IT Project; none**
- **Approved Project Cost;**
- **Project Number; and**
- **Implementation Date**

4. Proposed IT Projects

After each proposed IT project has been documented by answering questions 4.1 through 4.15 of the attached IT Project Proposal Form, provide the following information on Table 2 on the following page:

- **The name of each proposed IT project; none**
- **The priority ranking;**
- **The FSR submission date; and**
- **The estimated cost**

Table 1-Existing Approved Reportable IT Projects Summary by Department

Existing IT Project	Approved Project Cost*	Project Number	Implementation Date

*Note: If a Special Project Report (SPR) was submitted for review in July 2008 that includes project costs that differ from the last approved project document, enter both the last approved project cost and the revised project cost from the SPR under review.

Table 2-Proposed IT Project Summary

Proposed IT Project	Priority Ranking	FSR Submission Date	Estimated Total Cost

PROPOSED IT PROJECTS

Complete this IT Project Proposal Form (questions 4.1 though 4.15 below) for each proposed IT project that meets the definition of a reportable project as defined in the State Administrative Manual Section 4819.37:

   4.1.   Proposal name and priority ranking:

   4.2.   Description of the proposed IT project:

   4.3.   Which of your department's business goals and objectives does this project support, and how?

   4.4.   What are the expected business outcomes or benefits of the proposal as they relate to your organization's business goals and objectives?

   4.5.   The following are from the State's IT strategic plan. Check the appropriate box(es) to identify the goals this proposal supports:

   ☐ **Supporting and enhancing services for Californians and businesses**
   ☐ **Enhancing information and IT security**
   ☐ **Reducing state operational costs (leveraging, consolidation, new technology, etc.)**
   ☐ **Improving the reliability and performance of IT infrastructure**
   ☐ **Enhancing human capital management**
   ☐ **Supporting state and agency priorities and business direction**

   4.6.   Is the proposal consistent with your organization's Enterprise Architecture?
   ☐ **Yes**
   ☐ **No**

   If no, please explain why the deviation from the organization's Enterprise Architecture is necessary.

4.7. **Will the proposed system collect, store, transmit, or exchange confidential or sensitive information?**
☐ **Yes**
☐ **No**

4.8. **If this proposal is conceptually approved, what is the estimated date (mm/yyyy) the FSR will be submitted?**

4.9. **What is the estimated project start date (mm/yyyy) if the FSR is approved?**

4.10. **What is the duration of the proposed project?**

4.11. **Will the proposed project utilize the existing infrastructure?**
☐ **Yes**
☐ **No**

If no, please explain.

4.12. **Is the proposal related to another proposal or to an existing project?**
☐ **Yes**
☐ **No**

If yes, describe the related proposal or project and how it is related:

4.13. **Describe the consequences of not doing this proposed project at the planned timeframe:**

4.14. **Check the appropriate box(es) to identify the proposal's funding strategy:**
☐ **Augmentation needed**
☐ **Redirection of existing funds**
☐ **Other (describe):**

4.15. **What are the estimated cost and funding source(s) by fiscal year through implementation (information should be provided in the following format):**

Fund Source	2009-10	2010-11	2011-12	2012-13	2013-14 and future	Total
General Fund						
Federal Fund						
Special Fund*						
Total						

* Note: Identify the fund source and if the department is the sole user of the fund.

Enterprise Architecture

A.1. **Does your organization have documented Enterprise Architecture principles, strategies, or standards to guide decisions on technology projects?**
☐ **Yes**
☒ **No**

A.2. **Indicate on Table A-1 below, the completion status of the component Reference Models of your formal Enterprise Architecture efforts. If available, please submit a copy of your Enterprise Architecture document.**

Table A-1, Enterprise Architecture Completion Status

Component Reference Model	Status			
	Implemented	Implementation in Progress	Planned or Planning in Progress	Not Implemented and Not Planned
Business			X	
Service			X	
Technical			X	
Data			X	

A.3. **Describe the governance structure your organization uses to review and approve the Enterprise Architecture and any subsequent changes.**

Currently, our department does not have an Enterprise Architecture governance structure in place to review and approve our enterprise architecture; however, efforts to develop an Enterprise Architecture implementation plan are underway. We are directly working with the CHHS to leverage Agency Enterprise Architecture developments and OSI enterprise architecture best practices. We have established a Department Information Technology Steering Committee (ITSC) with a cross section of program and IT representatives that includes the Chief Deputy, Program Deputies and the CIO. The ITSC is responsible for department-level governance review and approval of IT investments, policy, procedure, guiding principles, and reference models in accordance with the department business strategy.

This structure follows the projected CHHS Agency Enterprise Architecture strategy, with the CIO at the head of the department's decision-making structure, and department workgroups, in subordinate roles, actively evaluating enterprise-wide operational policies and procedures to be forwarded to the CIO for approval.

Enterprise Architecture

A.4. **Does your organization have an Enterprise Architect? (if yes, provide their name, telephone number, and e-mail address below)**

☐ **Yes**
☒ **No**

Name: _____

Classification: _____

Telephone Number: _____ **E-Mail:** _____

Information Security

B.1. How is your Information Security Officer involved in proposed project development efforts?

The users complete a Project Initiation Form whenever they desire to begin a project. The forms are sent to the CIO. The CIO distributes a copy of the form to the IT Steering Committee and to the ISO. The ISO attends the initial meetings regarding the project and conducts a risk assessment on the project. If the project is determined to be of significant risk, the ISO will conduct a security assessment. The result of the security assessment will be recommendations for implementing security controls. The ISO will participate in meetings throughout the development of the project to ensure that the recommended controls are built into the system.

B.2. What are your department's core business principles, policies and standards related to information integrity, confidentiality, and availability and the protection of information assets?

We have incorporated policies to protect information assets such as a password usage policy which has a requirement that employees change their login password at certain intervals, and to use a specific password format. Portable devices are encrypted and guided by our remote access policy.

Our information security policy covers security awareness training which is to be completed annually by employees and contractors leading to certification. This training addresses acceptable use and good computing practices for systems they are authorized to access. The content of training is based on CDA's policies addressing issues such as privacy requirements, virus protection, incident reporting, internet use, notification to staff about monitoring activities, password requirements, and consequences of legal and policy violations.

We are developing procedures for incident reporting for employees and contractors. The procedures describe what an incident is, who it should be reported to, the information that is required when submitting a report and the timeline for resolution.

The department has a privacy policy which places strict controls on the gathering and use of personally identifiable data. Personal information is not disclosed, made available, or otherwise used for purposes other than those specified at the time of collection, except with consent or as authorized by law or regulation. The Department's information management practices are consistent with the Information Practices Act, the California Public Records Act, Government Code Sections 11015.5 and 11019.9, and other applicable laws pertaining to information privacy. We do not collect home, business or e-mail addresses, or account information from individuals that browse our Internet Web site. We have security measures in place to protect against loss, misuse, unauthorized access and modification of information under our control. Information voluntarily provided will be protected to the extent possible by the appropriate computer, network, and internet technical security controls at the employee and departmental level to prevent unauthorized access. Some of these security controls are: password and user identification verification, data encryption and secure storage areas.

The department has a risk management plan containing an analysis of likely risks with both high and low impact, as well as mitigation strategies should common problems arise. The risk

Information Security

management plan is periodically reviewed in order to avoid having the analysis become outdated and not reflective of actual potential risks.

B.3. **If data within your department is shared with external entities, does your department implement data exchange agreements with these entities?**
☐ **Yes**
☐ **No**

If no, please explain.

x☐ **Not applicable**

B.4. **How does your department ensure that software developers and programmers follow standards and best practices for Web, application, and system development?**

The Department of Aging set forth its internal department wide standards and best practices for Web, application, and system development based on the IEEE software development guidelines, W3C standards for web development, etc. These standards serve to ensure software development projects requirements are met and conform to the Department of Finance rules and regulations.

The departmental software development workflow is listed in the following steps:
1. Service request is first initiated by the customer/business analyst in the form of a GSD (General System Design)
2. It is then submitted to ITB (Information Technology Branch) Development group/CIO
3. Service request is handed down to development lead (DBA) for review
4. Development lead will then task out service request to developers/programmers
5. Each individual developer will be responsible for his/her own Detailed System Design (DSD) according to the customer's service request
6. Developer submits his/her design for a walkthrough with stakeholders and lead to gather comments, suggestions, and changes to the design (database change request also need to be submitted at this stage, if necessary)
7. If design is approved (no further changes can be made), signatures from stakeholders and lead are required before the developer/programmer can start coding
8. Once all signatures are gathered, developer will start coding based on his/her design
9. Unit test his/her design and verify results to meet customer's requirements
10. Developer/programmer submit development package to system/integration test

11. Once the system/integration test passed, the development package is ready for implementation in production
12. Obtain final approval signatures

Information Security

B.5. Does your organization have an Information Security Officer? (if yes, provide their name, telephone number, and e-mail address below)

x☐ **Yes**

☐ **No**

Name: __Jeff Stilz_____

Classification: _Associate Information Systems Analyst

_____

Telephone Number: __928-6820_____   E-Mail: _bstilz@aging.ca.gov_____

C.1. **Does your organization have a workforce development plan for IT staff?**
☐ **Yes**
☒ **No**

If yes, briefly describe it.

Currently, our department does not have a workforce development plan however, we are working with the CHHS to leverage Agency workforce development plans. The CHHS's workforce development efforts are in the planning stage and will incorporate recruitment, lifelong learning, and mentorship into an effective plan of action for successfully increasing the size and aptitude of our skilled staff. The CHHS plan formulation strategy involves seven key steps to goal fruition:

1. **Develop an overall plan structure.** CHHS will construct a general outline of the plan's architecture with the final framework goals of incorporating and implementing policies and processes within reasonable time frames, and at acceptable costs. The plan will be geared towards realizing observable improvements in department and agency performance, labor force management and retention.

2. **Establish roles and responsibilities.** The plan structure will outline roles, responsibilities, and targets for leadership.

3. **Incorporate formal and informal efforts.** The plan will make room for both formal development efforts (i.e., job fair recruitment), and informal efforts (i.e., supporting word-of-mouth recruitment and mentorship outside of an established mentoring program).

4. **Develop performance process mechanisms and procedures.** With the necessary safeguards and appropriate accountability mechanisms in place, our performance plan will focus on achieving organizational results, accelerating change, providing meaningful performance distinctions, and opening up ongoing dialogs between management and staff to aid in employee growth.

5. **Formulate retention and mentor recruiting elements.** Using proven recruiting and retention methods, we will create a workable, affordable plan of action to initiate and maintain productive recruiting and mentoring programs within the department.

6. **Solidify department participation.** Departmental feedback is critical to create workable, affordable procedures and attain employee "buy in". CHHS will rely heavily on department-level participation in construction of the final framework for workforce development.

7. **Identify core competencies.** To create an effective workforce development plan, we will examine the existing architecture of our department and identify those core competencies essential to successful operations. Our development plan will nurture the sustainment of these competencies by cultivating a talented staff guaranteed to support operations and meet CHHS short and long-term needs.

CHHS will initiate proven recruiting methods to hire new talent, map the advancement of current employees, identify and address potential future knowledge and skill needs, uphold workforce diversity, and increase employee retention. Based on thorough workforce planning analysis, our workforce development plan will successfully aid in the achievement of organizational goals, and meet the current and future needs of CHHS, whatever the challenge.

C.2. **Check the appropriate box(es) to identify which workforce development tools, if any, your organization is using for IT classifications:**
☒ **Training**
☒ **Upward Mobility**
☐ **Mentoring**
☐ **Career Assessments**
☐ **Knowledge transfer program**
☒ **Performance Evaluations**
☒ **Other (please list)**

As stated, CHHS will soon solidify a formal workforce development plan geared towards the following priorities:

- Implement mentorship and management training programs to maximize the upward mobility of current staff and enhance retention efforts.

- Aid employee growth through the development of performance process mechanisms and procedures to provide meaningful performance distinctions, accelerate positive change, and initiate employee growth.

- Potentially further support retention efforts through recruitment bonuses and employee recognition programs that acknowledge and reward excellence while promoting individual and team growth.

Performance management is vital to ensure and enhance department performance, due to the correlation between an individual's activities and departmental results. To increase department-wide performance, our workforce development plan will involve three key practices:

1. **Behavior modification support: linking individual performance with department performance and goals**. Each individual will be encouraged to realize the connection between their daily activities and accomplishments and their broader impact on company operations and objectives. This awareness will nurture our team mentality and identity as a cohesive unit, aiding in CHHS's health and future growth.

2. **<u>Increasing communication and accountability</u>**. As part of the plan's behavior modification support, mentoring, and retention efforts, each employee will be impressed upon the fact that, as part of a team, they have a responsibility both to reaching their goals and helping their coworkers achieve the same results. Further, performance monitoring by management will open up ongoing dialogs between supervisors and staff, supporting that same establishment of a link between individual performance and team/department performance. This collaborative atmosphere will provide a nurturing, open environment for staff at every level.

3. **<u>Performance tracking</u>**. Employee assessments will continue to be used for performance monitoring, providing a framework for constructive criticism, and enhancing individual productivity. The assessment, which will include an analysis of employee competencies, job duties, performance, and behavior, will allow the employee to "self-monitor" and address performance gaps. The result will be the enhancement of both accountability and management-employee communications, creating a continuous wish for growth within the employee that directly and continuously contributes to department success.

C.3. **Does your organization have a workforce plan for IT staff (i.e., for Rank and File)?**
☐ **Yes**
☒ **No**

   If yes, briefly describe it.

As stated, CHHS is in the process of implementing an effective workforce development plan, which will incorporate recruitment, lifelong learning, and mentorship. The plan will outline governance roles, responsibilities, and targets for leadership. The envisioned plan will be formulated for utilization by all departments.

C.4. **Does your organization have a succession plan for IT staff (i.e., for Management)?**
☐ **Yes**
☒ **No**

   If yes, briefly describe it.

CHHS has a strong presence as an employer within the state of California. Though IT staff retention levels are historically low within the IT industry, CHHS does not suffer from high IT turnover and personnel shortages. We are adept at coping with increases and decreases in staffing requirements, and our effective workforce planning management procedures eliminate negative program continuity impact due to employee vacancies. Nevertheless, CHHS is in the process of developing a succession plan, applicable to all departments, that ensures continued success in adequate staffing.

CHHS's succession a plan will accomplish the following:

- Incorporate a workable, affordable recruitment strategy based on established best practices, and attracting potential talent via targeted outreach efforts and word of mouth.

- Implement mentorship and management training programs to increase staff promotions and help to ensure the retention of our current talent.

- Further support retention efforts through recruitment bonuses and recognition programs.

At CHHS, we stay abreast of changes in the local economy affecting employment rates, as well as any employee recruitment developments within the greater Sacramento area. We realize that the welfare of our current and newly acquired staff members is paramount to agency success. Or plan will promote communication and knowledge sharing, increase retention rates, and provide employees with stability and valuable opportunities for advancement, creating a dedicated, reliable workforce.

C.5. IT Staffing

Provide the following information in table C-1 on the following page:

- **The name of each IT classification currently in the organization.**
- **The number of staff in each IT classification in the organization.**
- **The number of staff in each IT classification eligible to retire in the next five years.**
- **The percentage of each IT classification eligible to retire in the next five years.**

Table C-1 — IT Staffing

IT Rank and File Staff Classification	Number of IT Rank and File Staff in Classification	Number of IT Rank and File Staff in Classification Eligible to Retire in Next 5 Years	IT Management Staff Classification	Number of IT Management Staff in Classification	Number of IT Management Staff in Classification Eligible to Retire in Next 5 Years
Staff Information Systems Analyst	1		Data Process Manager II	1	1
Staff Programmer Analyst	1				
Associate	1				

Programmer Analyst					
Associate Information Systems Analyst	**2**				
Assistant Information System Analyst	**1**				

Project Management, Portfolio Management and IT Governance

D.1. **Does your organization have a process for improving the alignment of business and technology?**
☒ **Yes**
☐ **No**

If yes, briefly describe it.
We have established a Department Information Technology Steering Committee (ITSC) with a cross section of program and IT representatives that includes the Chief Deputy, Program Deputies and the CIO. The ITSC is responsible for department-level governance review and approval of IT investments, policy, procedure, guiding principles, and reference models in alignment with the department business and technology strategy.

D.2. **What is the status of implementing a formal portfolio management methodology for technology projects within your organization?**
☐ **Implemented (Please describe)**

☐ **Implementation in progress (Please describe)**

☐ **Planned or planning in progress**
☒ **Not implemented and not planned**

D.3. **List any automated tools being used for portfolio management. Enter "None" if no automated tools are being used.**
none

D.4. **What is the status of implementing a standard project management methodology for technology projects in your organization?**
☐ **Implemented (Please describe)**

☐ **Implementation in progress (Please describe)**

☒ **Planned or planning in progress**
☐ **Not implemented and not planned**

Project Management, Portfolio Management and IT Governance

D.5. **Does the organization require its project managers to be certified, either through a professional organization (e.g., PMI, ITIL) and/or through completion of specified project management coursework:**
☐ **Yes**
   ☐ **PMI**
   ☐ **ITIL**
   ☐ **Agency-specified project management coursework (identify below)**

☒ **No**

D.6. **Select from the list other areas of training your organization requires of its project managers:**
☐ **Fundamental Project Management**
☐ **Systems Development Life Cycle**
☐ **Scheduling tool (identify below)**
   –
   –
   –
☐ **Project Performance Management (e.g., Earned Value Management)**
☐ **Business Process Analysis**
☐ **Requirements Traceability**
☐ **Procurement/Contracts Management**
☐ **Other (identify below)**
   –
   –
   –
☒ **None**

D.7. **Describe project-level governance practices, including change management, issue resolution, and problem escalation.**

D.8. **Does the project management methodology include processes for documenting lessons-learned and applying these to future projects?**
☒ **Yes (Please describe)**
☐ **No**